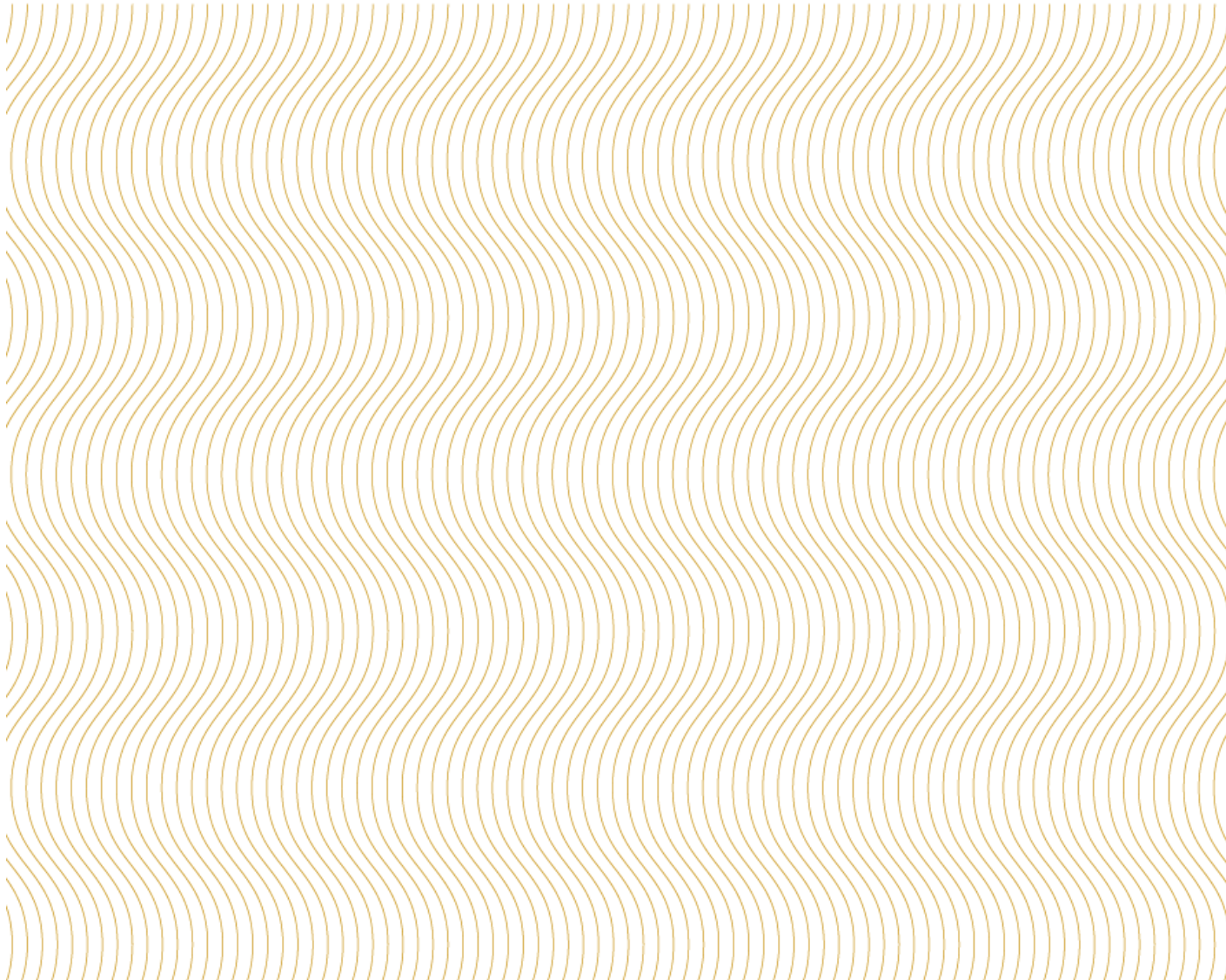


Event Driven Filings

Guidance



ABU DHABI GLOBAL MARKET
سوق أبوظبي العالمي



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1. Introduction

Abu Dhabi Global Market (“ADGM”) was established pursuant to Abu Dhabi Law No. 4 of 2013 as a financial free zone in the Emirate of Abu Dhabi, with its own civil and commercial laws. ADGM offers market participants a world-class legal system and regulatory regime.

This Guidance has been written to guide registered entities in ADGM in relation to some of the filing obligations under the ADGM Companies Regulations and ADGM Commercial Licensing Regulations. This is only a guide and should be read together with the company’s articles of association and relevant legislation, in particular, ADGM Companies Regulations 2015, ADGM Commercial Licensing Regulations 2015 and any other relevant regulations and enabling rules. This Guidance only refers to the procedures that need to be completed in relation to the Registrar. It does not cover other requirements as set out in the relevant legislation (which includes contact with the court and other internal obligations that a company will need to carry out). Further advice from a specialist professional may be required. Information stated in this documents are subject to change without prior notice.

Please also note that based on the powers granted to ADGM Registration Authority by the Board of Directors of ADGM and provisions of Federal Law No. 4 of 2013 concerning Abu Dhabi Global Market, the Registrar has the power to request for any additional information, other than that stated on the application or forms and/or this Guidance, if the Registrar considers it appropriate or required. Section 16(5) of Commercial Licensing Regulations states that At any time after the application is received and before it is determined, the Registrar may require the applicant to provide it with such further information as it reasonably considers necessary to enable it to determine the application.

Registration Authority Office

The Registration Authority (the “Registrar”) is one of the core pillars of ADGM. The Registrar is an independent body, which has the powers to license and register the ADGM establishments. The Registrar’s office is located at 3rd floor, ADGM Building, Abu Dhabi Global Market Square, Al Maryah Island, Abu Dhabi, United Arab Emirates.

The Registrar’s main functions under Companies and Commercial Licensing Regulations

- Registration of ADGM establishments
- Registration of business names and maintenance of register
- Registration of post-incorporation documentation and event-driven filings
- Registration of changes in business name particulars
- Registration of changes in directors, officers, shareholders and share capital
- Enforcement, prosecution and strike off, dissolution or restoration of ADGM establishments.
- Cancellation of Commercial Licenses, amendment, suspension, etc.

Opening Hours

The Registrar’s office is open from Sunday to Thursday, 9:00am to 3:00pm and may be contacted during normal working hours at +971 2 3338888 or by email at ra@adgm.com

2. Company Name and Trade Name

Change of Company Name

A company may change its name by special resolution or by other means provided for by the company's articles.

The name of a company may also be changed on the determination of a new name by the Registrar under section 61 (order requiring name to be changed), on the determination of a new name by the Court under section 62 (appeal from Registrar's decision) or under section 891 (company's name on restoration).

A company should, give notice to the Registrar of such change of company name.

Prescribe Delivery Time	-
Form	Change of Company Name
Steps	<ol style="list-style-type: none"> 1. Access your company by logging in using your account (www.registration.adgm.com) 2. In the General Details tab, select Change Company Name 3. Complete the form and upload a copy of resolution. 4. Provide Declaration then Proceed to Payment. Fee is USD100.
Supporting Documents	<p>If a method of change is by special resolution</p> <p><input type="checkbox"/> Copy of shareholders' resolution</p> <p>If a method of change is by means provided in the Company's Articles</p> <p><input type="checkbox"/> Copy of shareholders' resolution or board resolution (whichever is applicable);</p> <p><input type="checkbox"/> the notice must be accompanied by a statement that the change of name has been made by means provided for by the company's articles.</p> <p>If method of change is by determination of a new name by the Registrar or Court Order</p> <p><input type="checkbox"/> Direction of the Registrar issued pursuant to Section 56 or section 61 of the Companies Regulations; or</p> <p><input type="checkbox"/> Court Order issued pursuant to section 62 or section 891 of the Companies Regulations</p>
Fee	USD100
Fine	-
Template	Refer to the resolution templates located in this link - https://www.adgm.com/operating-in-adgm/obligations-of-all-adgm-registered-entities/event-driven-filings
Note	Only users who were given authority by the company, can file this form.

Change of Company Name - Branch

A branch should, give notice to the Registrar of the name change of its parent company.

Prescribe Delivery Time	-
Form	Change of Company Name
Steps	<ol style="list-style-type: none"> 1. Access your company by logging in using your account (www.registration.adgm.com) 2. In the General Details tab, select Change Company Name 3. Complete the form and upload a copy of resolution. 4. Provide Declaration then Proceed to Payment. Fee is USD100.
Supporting Documents	<input type="checkbox"/> Parent company's amended license or Certificate of Change of Name
Fee	USD100

Fine	-
Note	Only users who were given authority by the company, can file this form.

Application or Change of Trade Name

Entity who intends to conduct business in Abu Dhabi Global Market under a Trade Name (which is different to a proposed Company Name) must apply for a Trade Name specifying the proposed Trade Name.	
Prescribe Delivery Time	-
Form	Change of Trade Name
Steps	<ol style="list-style-type: none"> 1. Access your company by logging in using your account (www.registration.adgm.com) 2. In the General Details tab, select Change Company Name 3. Complete the form and upload a copy of resolution. 4. Provide Declaration then Proceed to Payment. Fee is USD100.
Supporting Documents	<input type="checkbox"/> Approval to use sensitive word (if applicable) <input type="checkbox"/> a copy of trade mark certificate, including a consent to use the registered name/mark (if applicable)
Fee	-
Fine	-
Note	Only users who were given authority by the company, can file this form.

3. Accounting Reference Date

Maintain Accounting Reference Date

A company may, by notice given to the Registrar, specify a new accounting reference date having effect in relation to the company's current accounting reference period and subsequent periods, or the company's previous accounting reference period and subsequent periods.

The notice must state whether the current or previous accounting reference period is to be shortened, so as to come to an end on the first occasion on which the new accounting reference date falls or fell after the beginning of the period, or is to be extended, so as to come to an end on the second occasion on which that date falls or fell after the beginning of the period.

Prescribe Delivery Time	-
Form	Maintain Accounting Reference Date
Steps	<ol style="list-style-type: none"> 1. Access your company by logging in using your account (www.registration.adgm.com) 2. In the General tab, select Maintain Accounting Reference Date 3. Complete the form and upload resolution approving change of accounting reference date. 4. Provide Declaration then Submit.
Supporting Documents	<input type="checkbox"/> A copy of resolution approving change of Accounting Reference Date <input type="checkbox"/> A copy of approval from the Registrar (applicable if Accounting Reference date has been extended in the last five years).
Fee	-
Fine	-
Template	Refer to the resolution templates located in this link - https://www.adgm.com/operating-in-adgm/obligations-of-all-adgm-registered-entities/event-driven-filings
Note	Only users who were given authority by the company, can file this form.

4. Recognized Auditor

Appointment of Recognized Auditor

Where a company chooses or is required to appoint an auditor, it must do so in accordance with s457 of the Companies Regulations 2015. The company may notify the Registrar of the appointment.

Prescribe Delivery Time	-
Form	Appointment and Cessation of Recognized Auditor
Steps	<ol style="list-style-type: none"> 1. Access your company by logging in using your account (www.registration.adgm.com) 2. In the General tab, select Appointment and Cessation of Recognized Auditor 3. Complete the form and upload evidence of appointment 4. Provide Declaration then Submit.
Supporting Documents	<input type="checkbox"/> Resolution approving appointment of the auditor.
Fee	-
Fine	-
Template	Refer to the resolution templates located in this link - https://www.adgm.com/operating-in-adgm/obligations-of-all-adgm-registered-entities/event-driven-filings
Note	Only users who were given authority by the company, can file this form.

Cessation of Recognized Auditor

Where an auditor is removed or resigns from office, the company must give notice of that fact to the Registrar within 14 days.

Prescribe Delivery Time	14 days
Form	Cessation and cessation of Recognized Auditor
Steps	<ol style="list-style-type: none"> 1. Access your company by logging in using your account (www.registration.adgm.com) 2. In the General tab, select Appointment and Cessation of Recognized Auditor 3. Select 'Cease a Recognized Auditor and complete the form 4. Provide Declaration then Submit.
Supporting Documents	-
Fee	-
Fine	Level 2 – USD2000
Note	Only users who were given authority by the company, can file this form.

5. Business Activities

Maintain Business Activities

Company may apply to add or remove a permitted business activity by making an application to the Registrar. Additional business activities should be explained by attaching a copy of amended business plan that supports the business activity requested. A company that wishes to conduct financial activities must contact the ADGM Financial Services Regulatory Authority to obtain the relevant license or provisional approval, whichever is applicable.

Prescribe Delivery Time	-
Form	Maintain Business Activity
Steps	<ol style="list-style-type: none"> 1. Access your company by logging in using your account (www.registration.adgm.com) 2. In the General tab, select Maintain Business Activities

	3. Complete the form 4. Provide Declaration then Proceed to Payment . Fee is USD100. (additional fee may apply if change includes business activity type/category)
Supporting Documents	<input type="checkbox"/> Copy of business plan (application when applying for a new business activity) <input type="checkbox"/> Resolution approving the addition / removal of business activity.
Fee	USD100 (additional fee may apply if change includes business activity type/category)
Fine	-
Template	Refer to the resolution templates located in this link - https://www.adgm.com/operating-in-adgm/obligations-of-all-adgm-registered-entities/event-driven-filings
Note	Only users who were given authority by the company, can file this form.

6. Articles of Association

Amendment of Articles of Association

If the company amend its articles of association by passing a resolution, the company has to notify the Registration Authority of such amendments by filing Maintain Articles of Association.

Section 24 of the Companies Regulations 2015 states that the amended articles must be submitted to the Registration Authority within **14 days after the amendment takes effect**. Failure to comply will result to Level 2 fine or USD2000.

Prescribe Delivery Time	14 days
Form	Maintain Articles of Association
Steps	1. Access your company by logging in using your account (www.registration.adgm.com) 2. In the General Details tab, select Maintain Articles of Association 3. Complete the form and upload a copy of the amended articles and resolution. 4. Provide Declaration then Proceed to Payment . Fee is USD100.
Supporting Documents	<input type="checkbox"/> Copy of amended Articles of Association <input type="checkbox"/> Copy of shareholder's resolution approving the amended Articles of Association.
Fee	USD100
Fine	Level 2 – USD2000
Template	Refer to the resolution templates located in this link - https://www.adgm.com/operating-in-adgm/obligations-of-all-adgm-registered-entities/event-driven-filings
Note	Only users who were given authority by the company, can file this form.

Amendment of Articles of Association - Branch

A branch should, give notice to the Registrar of the amendment of articles of its parent company.

Prescribe Delivery Time	-
Form	Maintain Articles of Association
Steps	1. Access your company by logging in using your account (www.registration.adgm.com) 2. In the General Details tab, select Maintain Articles of Association

	<ol style="list-style-type: none"> 3. Complete the form and upload a copy of the amended articles and resolution. 4. Provide Declaration then Proceed to Payment. Fee is USD100.
Supporting Documents	<input type="checkbox"/> Copy of amended Articles of Association <input type="checkbox"/> Copy of shareholder’s resolution approving the amended Articles of Association.
Fee	USD100
Fine	-
Note	Only users who were given authority by the company, can file this form.

7. Registered Office

Change of Registered Office Address

A company may change the address of its registered office by giving notice to the Registrar.	
The change takes effect upon the notice being registered by the Registrar.	
Prescribe Delivery Time	-
Form	Maintain Registered Office Address Details
Steps	<ol style="list-style-type: none"> 1. Access your company by logging in using your account (www.registration.adgm.com) 2. In the Addresses tab, select Maintain Registered Office Address Details 3. Complete the form and upload a copy of Lease Agreement or Certificate of Lease or consent letter (whichever is applicable). 4. Provide Declaration then Proceed to Payment. Fee is USD100.
Supporting Documents	<input type="checkbox"/> Resolution approving the change of registered office address <input type="checkbox"/> Copy of Lease Agreement or Certificate of Lease or consent letter (whichever is applicable)
Fee	USD100
Fine	-
Template	Refer to the resolution templates located in this link - https://www.adgm.com/operating-in-adgm/obligations-of-all-adgm-registered-entities/event-driven-filings
Note	<ul style="list-style-type: none"> - Only users who were given authority by the company, can file this form. - Lease agreement must be registered first with ADGM. - Lease agreement for virtual office is not required to be registered

8. Location of Company’s Record

Alternative Location of Company’s Record

If the entity entity’s registers/records are <u>not</u> kept in the entity’s registered office address, the entity must give notice to the Registration Authority of the place at which the registers/records are kept available for inspection. The entity has to notify the Registration Authority within 14 days by filing a notification via ADGM Online Registry Solution, otherwise fine applies.	
Prescribe Delivery Time	14 days
Form	Maintain Location of Company Records
Steps	<ol style="list-style-type: none"> 1. Access your company by logging in using your account (www.registration.adgm.com) 2. In the Addresses tab, select Maintain Location of Company Record

	<p>3. Select Add, complete the form and upload evidence of change of location of company's records.</p> <p>4. Provide Declaration then Proceed to Payment. Fee is USD100.</p>
Supporting Documents	<input type="checkbox"/> Resolution or document evidencing the approval to move or change the location of entity's registers/record.
Fee	USD100
Fine	<p>Failure to notify the Registrar of the location of the following records:</p> <ul style="list-style-type: none"> - Register of members - Level 2 - \$2000 - Register of Directors' residential addresses - Level 1 - \$1500 - Director's service contracts - Level 1 - \$1500 - Director's indemnities - Level 1 - \$1500 - Register of Secretaries - Level 2 - \$2000 - Records of Resolutions - Level 1 - \$1500 - Contracts relating to purchase of own shares - Level 2 - \$2000 - Documents relating to redemption or purchase of own shares out of capital by private company - Level 7 - \$25000 - Register of debenture holders - Level 3 - \$5000 - Report to members of outcome by public company into interests in its shares - Level 2 - \$2000 - Register of interests in shares disclosed to public company - Level 2 - \$2000 - Instrument creating charges - Level 4 - \$10000
Template	<p>Refer to the resolution templates located in this link - https://www.adgm.com/operating-in-adgm/obligations-of-all-adgm-registered-entities/event-driven-filings</p>
Note	Only users who were given authority by the company, can file this form.

9. Authorized Signatory

Appointment of Authorized Signatory

A company should, give notice to the Registrar of such event that new individual becomes authorized signatory of the company.

Prescribe Delivery Time	-
Form	Appointment and Cessation of Authorized Signatory for a Company
Steps	<ol style="list-style-type: none"> 1. Access your company by logging in using your account (www.registration.adgm.com) 2. Go to Authorized Signatories, Maintain Signatories, then Appointment and Cessation of Authorized Signatories for a Company 3. Select Add another signatory 4. Provide the details of the new signatory and upload a copy of passport, UAE Visa or UAE entry stamp and evidence of appointment, such as resolution. 5. Provide consent by ticking the Signatory Consent box, then select Add this signatory 6. Provide declaration by ticking the Declaration box. 7. Submit the form by selecting Proceed to Payment and pay USD100.
Supporting Documents	<input type="checkbox"/> Copy of passport <input type="checkbox"/> Copy of UAE Visa or UAE Entry stamp (Non-UAE national)

	<input type="checkbox"/> Copy of last page of passport bearing unified number (UAE national) <input type="checkbox"/> Copy of Emirates ID (UAE national) <input type="checkbox"/> Evidence of appointment (such as consent letter from the new signatory) <input type="checkbox"/> Resolution approving the appointment of authorized signatory
Fee	USD100
Fine	-
Template	Refer to the resolution templates located in this link - https://www.adgm.com/operating-in-adgm/obligations-of-all-adgm-registered-entities/event-driven-filings
Note	<ul style="list-style-type: none"> - Only users who were given authority by the company, can file this form. - Appointed signatory who is under free zone or husband/wife sponsorship may be required to provide an NOC stating that his/her sponsor do not have any objection in relation to his/her appointment as signatory.

Cessation of Authorized Signatory

A company should, give notice to the Registrar of such event that individual ceased to become authorized signatory of the company.	
Prescribe Delivery Time	-
Form	Appointment and Cessation of Authorized Signatory for a Company
Steps	<ol style="list-style-type: none"> 1. Access your company by logging in using your account (www.registration.adgm.com) 2. Go to Authorized Signatories, Maintain Signatories, then Appointment and Cessation of Authorized Signatories for a Company 3. Go to the details of the signatory that you would like to remove and select Cease Signatory 4. Provide the effective date of removal and upload a copy of resolution and resignation letter (if any). 5. Provide declaration by ticking the Declaration box. 6. Submit the form by selecting Proceed to Payment and pay USD100.
Supporting Documents	<input type="checkbox"/> Evidence of resignation or removal (such as resignation letter) - (if applicable) <input type="checkbox"/> Resolution approving the resignation or removal of authorized signatory
Fee	USD100
Fine	-
Template	Refer to the resolution templates located in this link - https://www.adgm.com/operating-in-adgm/obligations-of-all-adgm-registered-entities/event-driven-filings
Note	Only users who were given authority by the company, can file this form.

Change of Authorized Signatory's Details

A company should, give notice to the Registrar of any change in the particulars contained in the record of the Registrar in relation to the company's authorized signatory.	
Prescribe Delivery Time	-
Form	Maintain Authorized Signatories for a Company
Steps	<ol style="list-style-type: none"> 1. Access your company by logging in using your account (www.registration.adgm.com) 2. Go to Authorized Signatory, Maintain Authorized Signatory, then Maintain Authorized Signatories for a Company 3. Select Edit Authorized Signatory

	<ol style="list-style-type: none"> 4. Provide the updated information, Effective Date and upload supporting document (if applicable). 5. Provide declaration by ticking the Declaration box. 6. Submit the form by selecting Proceed to Payment and pay USD100.
Supporting Documents	<input type="checkbox"/> Document evidencing the change (e.g. passport copy, Certificate of Change of name)
Fee	USD100
Fine	-
Note	Only users who were given authority by the company, can file this form.

10. Director

Appointment of Director

A company must, within the period of 14 days from a person becoming a director, give notice to the Registrar of the change and of the date on which it occurred.	
Prescribe Delivery Time	14 days
Form	Appointment and/or Cease Director
Steps	<ol style="list-style-type: none"> 1. Access your company by logging in using your account (www.registration.adgm.com) 2. Go to Directors, Maintain Director, then Appointment and/or Cease Director 3. Select Add another director 4. Provide the details of the new director and upload a copy of passport and evidence of appointment, such as resolution. 5. Provide consent by ticking the Director Consent box, then select Add this director 6. Provide declaration by ticking the Declaration box. 7. Submit the form by selecting Proceed to Payment and pay USD100.
Supporting Documents	<p>Individual</p> <p><input type="checkbox"/> Copy of passport</p> <p><input type="checkbox"/> Evidence of appointment</p> <p><input type="checkbox"/> Resolution approving the appointment of director</p> <p>Corporate</p> <p><input type="checkbox"/> Copy of Certificate of Incorporation or Registration</p> <p><input type="checkbox"/> Evidence of appointment</p> <p><input type="checkbox"/> Resolution approving the appointment of director</p>
Fee	USD100
Fine	Level 1 - USD1500
Template	Refer to the resolution templates located in this link - https://www.adgm.com/operating-in-adgm/obligations-of-all-adgm-registered-entities/event-driven-filings
Note	<ul style="list-style-type: none"> - Only users who were given authority by the company, can file this form. - For entities regulated by Financial Services Regulatory Authority (FSRA), you may be required to file additional notifications/application to FSRA.

Cessation of Director

A company must, within the period of 14 days from a person ceasing to be a director, give notice to the Registrar of the change and of the date on which it occurred.	
Prescribe Delivery Time	14 days
Form	Appointment and/or Cease Director

Steps	<ol style="list-style-type: none"> 1. Access your company by logging in using your account (www.registration.adgm.com) 2. Go to Directors, Maintain Director, then Appointment and/or Cease Director 3. Go to the details of the director that you would like to remove and select Cease Director 4. Provide the effective date of removal or resignation and upload a copy of resolution and resignation letter (if any). 5. Provide declaration by ticking the Declaration box. 6. Submit the form by selecting Proceed to Payment and pay USD100.
Supporting Documents	<input type="checkbox"/> Resolution approving the removal or resignation of director <input type="checkbox"/> Evidence of removal or evidence of resignation
Fee	USD100
Fine	Level 1 - USD1500
Template	Refer to the resolution templates located in this link - https://www.adgm.com/operating-in-adgm/obligations-of-all-adgm-registered-entities/event-driven-filings
Note	<ul style="list-style-type: none"> - Only users who were given authority by the company, can file this form. - For entities regulated by Financial Services Regulatory Authority (FSRA), you may be required to file additional notifications to FSRA.

Change of Director's Details

A company must, within the period of 14 days, from the occurrence of any change in the particulars contained in its register of directors or its register of directors' residential addresses, give notice to the Registrar of the change and of the date on which it occurred.	
Prescribe Delivery Time	-
Form	Maintain Director Details
Steps	<ol style="list-style-type: none"> 1. Access your company by logging in using your account (www.registration.adgm.com) 2. Go to Directors, Maintain Director, then Maintain Director Details 3. Select Edit Director 4. Provide the updated information, Effective Date and upload supporting document (if applicable). 5. Provide declaration by ticking the Declaration box. 6. Submit the form by selecting Proceed to Payment and pay USD100.
Supporting Documents	<input type="checkbox"/> Document evidencing the change (e.g. passport copy, Certificate of Change of name)
Fee	USD100
Fine	Level 1 - USD1500
Note	<ul style="list-style-type: none"> - Only users who were given authority by the company, can file this form. - For entities regulated by Financial Services Regulatory Authority (FSRA), you may be required to file additional notifications/application to FSRA.

11. Secretary

Appointment of Secretary

A company must, within the period of 14 days from a person becoming its secretary or one of its joint secretaries, give notice to the Registrar of the change and of the date on which it occurred.	
Prescribe Delivery Time	14 days
Form	Appoint and/or Cease Secretaries

Steps	<ol style="list-style-type: none"> 1. Access your company by logging in using your account (www.registration.adgm.com) 2. Go to Secretary, Maintain Secretary, then Appointment and/or Cease Secretaries 3. Select Add another secretary 4. Provide the details of the new secretary and upload a copy of passport and evidence of appointment, such as resolution. 5. Provide consent by ticking the Secretary Consent box, then select Add this secretary 6. Provide declaration by ticking the Declaration box. 7. Submit the form by selecting Proceed to Payment and pay USD100.
Supporting Documents	<p>Individual</p> <p><input type="checkbox"/> Copy of passport</p> <p><input type="checkbox"/> Evidence of appointment</p> <p><input type="checkbox"/> Resolution approving the appointment of secretary</p> <p>Corporate</p> <p><input type="checkbox"/> Copy of Certificate of Incorporation or Registration</p> <p><input type="checkbox"/> Evidence of appointment</p> <p><input type="checkbox"/> Resolution approving the appointment of secretary</p>
Fee	USD100
Fine	Level 2 – USD2000
Template	Refer to the resolution templates located in this link - https://www.adgm.com/operating-in-adgm/obligations-of-all-adgm-registered-entities/event-driven-filings
Note	Only users who were given authority by the company, can file this form.

Cessation of Secretary

A company must, within the period of 14 days from a person ceasing to be its secretary or one of its joint secretaries, give notice to the Registrar of the change and of the date on which it occurred.	
Prescribe Delivery Time	14 days
Form	Appoint and/or Cease Secretaries
Steps	<ol style="list-style-type: none"> 1. Access your company by logging in using your account (www.registration.adgm.com) 2. Go to Secretary, Maintain Secretary, then Appointment and/or Cease Secretary 3. Go to the details of the Secretary that you would like to remove and select Cease Secretary 4. Provide the effective date of removal or resignation and upload a copy of resolution and resignation letter (if any). 5. Provide declaration by ticking the Declaration box. 6. Submit the form by selecting Proceed to Payment and pay USD100.
Supporting Documents	<p><input type="checkbox"/> Resolution approving the resignation or removal of Secretary</p> <p><input type="checkbox"/> Evidence of resignation (such as resignation letter)</p>
Fee	USD100
Fine	Level 2 – USD2000
Template	Refer to the resolution templates located in this link - https://www.adgm.com/operating-in-adgm/obligations-of-all-adgm-registered-entities/event-driven-filings
Note	Only users who were given authority by the company, can file this form.

Change in Secretary's Details

A company must, within the period of 14 days from occurrence of any change in the particulars contained in its register of secretaries, give notice to the Registrar of the change and of the date on which it occurred. (s. 293)	
Prescribe Delivery Time	14 days
Form	Maintain Secretary Details
Steps	<ol style="list-style-type: none"> 1. Access your company by logging in using your account (www.registration.adgm.com) 2. Go to Secretary, Maintain Secretary, then Maintain Secretary Details 3. Select Edit Secretary 4. Provide the updated information, Effective Date and upload supporting document (if applicable). 5. Provide declaration by ticking the Declaration box. 6. Submit the form by selecting Proceed to Payment and pay USD100.
Supporting Documents	<input type="checkbox"/> Document evidencing the change (e.g. passport copy, Certificate of Change of name)
Fee	USD100
Fine	Level 1 - USD1500
Note	Only users who were given authority by the company, can file this form.

12. Shares & Shareholders

Allotment of Shares

Within one calendar month from the date of allotment of shares, the company must notify the Registrar of such allotment. Failure to comply will be subject to Level 2 fine.	
Prescribe Delivery Time	Within one calendar month
Form	Allotment of Shares
Steps	<ol style="list-style-type: none"> 1. Log in to your account 2. Select the entity 3. Go to Shares & Shareholders tab 4. Select Maintain Shares Class Details, then Allotment of Shares 5. Update the Share Class Details, upload a copy of resolution and share register 6. Provide Declaration then Proceed to Payment. Fee is USD100. <p>If the share is allotted to a new shareholder; Please also complete this form:</p> <ol style="list-style-type: none"> 1. Go to Shares & Shareholders tab 2. Select Maintain Shares and shareholders, then Maintain Shareholder Details 3. Select Add another shareholders and provide the details and documents of shareholders 4. Provide the Declaration then select submit.
Supporting Documents	<input type="checkbox"/> Resolution approving the allotment <input type="checkbox"/> Register of shareholders/members <input type="checkbox"/> Identification documents of new shareholders and its ultimate beneficial owners
Fee	USD100

Fine	Level 2 – USD2000
Templates	Refer to the resolution and register of shareholders/members templates located in this link - https://www.adgm.com/operating-in-adgm/obligations-of-all-adgm-registered-entities/event-driven-filings
Note	<ul style="list-style-type: none"> - Only users who were given authority by the company, can file this form. - Additional documents may be required to verify the ultimate beneficial owners who holds more than 25% stake in ADGM entity. - For entities regulated by Financial Services Regulatory Authority (FSRA), you may be required to file additional notifications/application to FSRA.

Transfer of Shares

<p>A company must reflect in its register of shareholders any transfers of shares.</p> <p>Should the company wish to update the records with the Registrar to ensure that the records on public register are correct, the company may do so voluntarily by notifying the Registrar of such transfer by lodging the transfer of shares form along with the supporting documents and fees.</p>	
Prescribe Delivery Time	-
Form	Transfer Shares
Steps	<ol style="list-style-type: none"> 1. Log in to your account 2. Select the entity 3. Go to Shares & Shareholders tab 4. Select Maintain Shares and Shareholders, then Transfer Shares 5. Provide the Effective Date of transfer and upload a copy of resolution, share register and instrument of transfer. 6. Provide Declaration then Proceed to Payment. Fee is USD100. <p>If the share is allotted to a new shareholder; Please also complete this form:</p> <ol style="list-style-type: none"> 1. Go to Shares & Shareholders tab 2. Select Maintain Shares and shareholders, then Maintain Shareholder Details 3. Select Add another shareholders and provide the details and documents of shareholders. Details and documents of beneficial owner who owns more than 25% of the ADGM entity are also required. 4. Provide the Declaration then select submit.
Supporting Documents	<input type="checkbox"/> A copy of resolution approving such transfer of shares <input type="checkbox"/> Copy of passport (applicable to new shareholder) <input type="checkbox"/> Copy of Certificate of Incorporation or Registration (applicable to new shareholder)
Fee	USD100
Fine	-
Template	Refer to the resolution, instrument of transfer and register of shareholders/members templates located in this link - https://www.adgm.com/operating-in-adgm/obligations-of-all-adgm-registered-entities/event-driven-filings
Note	- Only users who were given authority by the company, can file this form.

	<ul style="list-style-type: none"> - Additional documents may be required to verify the ultimate beneficial owners who holds more than 25% stake in ADGM entity. - For entities regulated by Financial Services Regulatory Authority (FSRA), you may be required to file additional notifications/application to FSRA.
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Change in Shareholder's Details

A company should, give notice to the Registrar of any change in the details contained in the record of the Registrar in relation to the company's shareholder.	
Prescribe Delivery Time	-
Form	Maintain Shareholder Details for a Company
Steps	<ol style="list-style-type: none"> 1. Go to Shares & Shareholders tab 2. Select Maintain Shares and shareholders, then Maintain Shareholder Details for a Company 3. Select Edit shareholders, change details, then select Save. 4. Provide the Declaration then select Submit.
Supporting Documents	<input type="checkbox"/> Document evidencing the change (e.g. passport copy, Certificate of Change of name)
Fee	-
Fine	-
Note	<ul style="list-style-type: none"> - Only users who were given authority by the company, can file this form. - For entities regulated by Financial Services Regulatory Authority (FSRA), you may be required to file additional notifications to FSRA.

Increase Authorized Share Capital

Companies who have authorised share capital can amend its authorised share capital by passing a resolution and notify the Registrar of such change.	
Prescribe Delivery Time	-
Form	Increase Authorized Share Capital for a Company
Steps	<ol style="list-style-type: none"> 1. Go to Shares & Shareholders tab 2. Select Maintain Shares Capital, then Increase Authorized Share Capital for a Company 3. Complete the form. 4. Provide Declaration then Proceed to Payment. Fee is USD100.
Supporting Documents	<input type="checkbox"/> Copy of resolution approving the increase of authorized share capital.
Fee	USD100
Fine	-
Template	Refer to the resolution, instrument of transfer and register of shareholders/members templates located in this link - https://www.adgm.com/operating-in-adgm/obligations-of-all-adgm-registered-entities/event-driven-filings
Note	<ul style="list-style-type: none"> - Only users who were given authority by the company, can file this form. - For entities regulated by Financial Services Regulatory Authority (FSRA), you may be required to file additional notifications/application to FSRA.

13. Beneficial Owner

Appointment of Beneficial Owner

A company should, give notice to the Registrar of such event that new individual or body corporate becomes beneficial owner of the company.	
Prescribe Delivery Time	-
Form	Appoint and Cease Beneficial Owner
Steps	<ol style="list-style-type: none"> 1. Go to Beneficial Owners tab 2. Select Maintain Beneficial Owners, then Appointment and Cease Beneficial Owner 3. Complete the form. 4. Provide Declaration then Submit.
Supporting Documents	<input type="checkbox"/> Copy of passport (Individual) <input type="checkbox"/> Copy of Certificate of Incorporation or Registration (body corporate)
Fee	-
Fine	-
Note	<ul style="list-style-type: none"> - Only users who were given authority by the company, can file this form. - Additional documents may be required to verify the ultimate beneficial owners who holds more than 25% stake in ADGM entity. - For entities regulated by Financial Services Regulatory Authority (FSRA), you may be required to file additional notifications/application to FSRA.

Cessation of Beneficial owner

A company should, give notice to the Registrar of such event that individual or body corporate ceased to become beneficial owner of the company.	
Prescribe Delivery Time	-
Form	Appoint and Cease Beneficial Owner
Steps	<ol style="list-style-type: none"> 1. Go to Beneficial Owners tab 2. Select Maintain Beneficial Owners, then Appointment and Cease Beneficial Owner 3. Complete the form by selecting Cease Beneficial Owner 4. Provide Declaration then Submit.
Supporting Documents	-
Fee	-
Fine	-
Note	<ul style="list-style-type: none"> - Only users who were given authority by the company, can file this form. - For entities regulated by Financial Services Regulatory Authority (FSRA), you may be required to file additional notifications/application to FSRA.

Change in Beneficial Owner's Details

A company should, give notice to the Registrar of any change in the particulars contained in the record of the Registrar in relation to the Company's beneficial owner.	
Prescribe Delivery Time	-
Form	Maintain Beneficial Owner's Details
Steps	<ol style="list-style-type: none"> 1. Go to Beneficial Owners tab 2. Select Maintain Beneficial Owners, then Maintain Beneficial Owner Details 3. Complete the form by selecting Edit Beneficial Owner Details 4. Provide Declaration then Submit.
Supporting Documents	<input type="checkbox"/> Document evidencing the change (e.g. passport copy, Certificate of Change of name)
Fee	-

Fine	-
Note	<ul style="list-style-type: none">- Only users who were given authority by the company, can file this form.- For entities regulated by Financial Services Regulatory Authority (FSRA), you may be required to file additional notifications/application to FSRA.

Disclaimer

This Guidance provides information on event driven filings obligation of ADGM registered companies. This Guidance has been written to guide registered entities in ADGM in relation to their filing obligations as required by the ADGM Companies Regulations and ADGM Commercial Licensing Regulations. This is only a guide and should be read together with the company's articles of association and relevant legislation, in particular, ADGM Companies Regulations 2015, ADGM Commercial Licensing Regulations 2015 and any other relevant regulations and enabling rules. This Guidance only refers to the procedures that need to be completed in relation to the Registrar. It does not cover other requirements as set out in the relevant legislation (which includes contact with the court and other internal obligations that a company will need to carry out). Further advice from a specialist professional may be required. Information stated in this documents are subject to change without prior notice.

For more information, you may contact the Registrar:

Telephone No.: 00 971 2 338888

Email: adgm.registration@adgm.com

Address: 3rd floor, ADGM Building, Abu Dhabi Global Market Square, Al Maryah Island, Abu Dhabi, United Arab Emirates.